

PATENT



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#42171 \$

ATTORNEY DOCKET: D3398-00033CIP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Aguais et al.

Serial No.: 10/051,905

Examiner: not yet assigned

Filed: January 17, 2002

Group Art Unit: 2171

RECEIVED  
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Technology Center 2100

For: System and Method for Valuing and Managing the Risk of Credit Instrument Portfolios

I CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED  
WITH THE U.S. POSTAL SERVICE AS FIRST CLASS MAIL IN AN  
ENVELOPE ADDRESSED TO THE ASSISTANT  
COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231

ON March 5, 2002  
Mary La Grange

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Att: Licensing and Review

Dear Sir:

**PETITION FOR RETROACTIVE LICENSE (37 CFR 5.25)**

It is respectfully requested that this petition for license for foreign filing be granted retroactively under the provisions of 37 CFR 5.25.

Attached is a copy of the material that was filed abroad without a license for foreign filing.

With respect to the material for which a retroactive license is requested, each foreign country in which the patent application material was filed and the date it was filed is as follows:

**Foreign Country**  
Canada

**Date**  
January 10, 2002

PATENT



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Also attached hereto are the verified statement(s) of:

Kendrick Lo

which confirms that, in accordance with 37 CFR 5.25(a)(3)(I)-(iii),

- (a) the subject matter in question was not under a secrecy order at the time it was filed abroad, and that it is not currently under a secrecy order;
- (b) the license is being diligently sought after discovery of the proscribed foreign filing; and
- (c) an explanation of why the material was filed abroad through error and without deceptive intent without the required license under §5.11 first having been obtained.

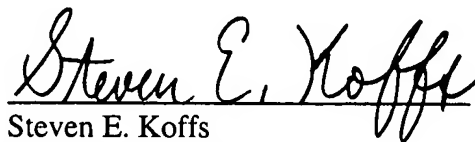
**FEE (37 CFR 1.17(h) - \$130.00)**

The fee for this petition for retroactive license is being paid by:

- ☒ Attached is a check in the amount of \$130.00.
- ☐ Authorization is hereby made to charge the amount of \$\_\_\_\_\_ to Deposit Account No. 04-1679.
- ☒ Please charge any additional fees required by this paper, or credit any overpayment, to Deposit Account 04-1679.

Respectfully submitted,

Date: 3.5.02



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